



Sector  
#3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): **Smith (et al.)**  
Serial No.: **09/405,608**  
Filed: **9/24/1999**

Attorney Docket: **0010-011**  
Examiner: **Unknown**  
Group Art Unit: **2771**

Title: **System And Method For Managing Connections Between A Client And A Server**

Box Missing Parts  
Assistant Commissioner for Patents  
Washington, DC 20231

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION**

In response to the Notice to File Missing Parts of Application dated 10/15/1999, the following documents are submitted herewith for filing in the above-referenced application:

1. Form PTO-1533, Part 2 (Notice To File Missing Parts of Application);
2. Combined Declaration and Power of Attorney (signed);
3. Verified Statement Claiming Small Entity Statement (signed);
4. Check No. 1163 in the amount of \$722.00, for the required fees;
5. Assignment (3 pages) (copy);
6. Recordation Coversheet (4 pages); and
7. Return receipt postcard.

The above-referenced Notice to File Missing Parts of Application dated 10/15/1999, has a shortened statutory period set to expire 12/15/1999.

Date: 12/14/99

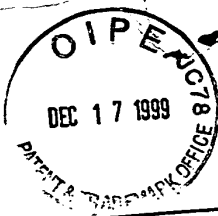
Larry E. Henneman, Jr.  
Larry E. Henneman, Jr., Reg. No. 41,063  
Henneman & Saunders  
9 W. 8<sup>th</sup> Street, Suite 600  
Tracy, CA 95376

**CERTIFICATE OF MAILING (37 CFR 1.8(A))**

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Box Missing Parts, Assistant Commissioner for Patents, Washington, DC 20231.

Date: 12/14/99

Larry E. Henneman, Jr.  
Larry E. Henneman, Jr.



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

#3

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
09/405,608	09/24/99	SMITH	J 0010-011

0232/1015

NOT ASSIGNED

LARRY E HENNEMAN JR  
HENNEMAN & SAUNDERS  
9 W 8TH STREET SUITE 600  
TRACY CA 95376

2771

DATE MAILED:

10/15/99

### NOTICE TO FILE MISSING PARTS OF APPLICATION Filing Date Granted.

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of \$65.00 for a small entity in compliance with 37 CFR 1.27, or \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a small entity (statement filed) ☒ non-small entity is \$ 1376.00

- ☒ 1. The statutory basic filing fee is:

☒ missing.  
☒ insufficient.

Applicant must submit \$ 760.00 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

- ☒ 2. The following additional claims fees are due:

\$ 486.00 for 27 total claims over 20.  
\$ \_\_\_\_\_ for \_\_\_\_\_ independent claims over 3.

\$ \_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

- ☒ 3. The oath or declaration:

☒ is missing or unsigned.

☒ does not cover the newly-submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

- ☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

- ☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

- ☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

- ☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

- ☐ 8. The application was filed in a language other than English.  
Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

- ☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

12/20/1999 CCETIN 00000025 09405608

01 FC:201  
02 FC:205  
03 FC:203  
04 FC:299

380.00 OP  
65.00 OP  
234.00 OP  
3.00 OP

U.S. GPO 1999 450-5875